

**COMMONWEALTH OF KENTUCKY  
OFFICE OF FINANCIAL INSTITUTIONS  
DIVISION OF SECURITIES**

**SURETY BOND FOR INVESTMENT ADVISERS**

The parties agree:

that \_\_\_\_\_ as Principal, of \_\_\_\_\_  
(address), City of \_\_\_\_\_, County of \_\_\_\_\_, State of \_\_\_\_\_, and \_\_\_\_\_, as Surety, a corporation incorporated under the laws of \_\_\_\_\_, and licensed to transact business in Kentucky, are bound unto the Executive Director of the Office of Financial Institution, as Oblige, for the benefit of any person in the sum of \$\_\_\_\_\_, the payment of which Principal and Surety jointly and severally bind themselves, their successors, assigns, heirs, and legal representative.

**SECTION ONE**

**CONDITION OF OBLIGATION**

1. Any person may enforce liability on this bond based upon a judgment rendered against Principal by a court of competent jurisdiction in which the court determines that Principal violated a provision of KRS Chapter 292, the Kentucky Securities Act (the "Act"). If Principal fully satisfies any judgment rendered against Principal by a court of competent jurisdiction in which the court determines that Principal violated a provision of the Act, then this obligation is void.

2. In order to for liability to attach to Surety, an action to enforce liability on this bond must be brought within one year from the date of the issuance of the underlying judgment or order against Principal.

SECTION TWO  
DURATION

This obligation shall remain in effect for one year following the date of its execution unless the bond is terminated as provided in Section Three or as otherwise provided by law.

SECTION THREE  
TERMINATION

Surety may terminate its obligation under this bond by giving thirty days written notice to Oblige and to Principal, but such notice shall not effect this agreement with respect to any obligation that may have arisen prior to the receipt of such notice by Oblige.

SECTION FOUR  
EXTENT OF LIABILITY

The maximum amount of the liability of Surety by virtue of this obligation shall be \$\_\_\_\_\_.

SECTION FIVE  
RECOVERY OF ATTORNEYS' FEES

If any proceedings are brought to enforce the obligations agreed to in this bond, Oblige shall be allowed reasonable attorneys' fees as a court may award.

Principal and Surety have executed this bond at \_\_\_\_\_(place of execution) on this \_\_\_\_\_ day of \_\_\_\_\_, \_\_\_\_\_.

Executed By:

\_\_\_\_\_  
Name of Principal

\_\_\_\_\_  
Name of Surety

\_\_\_\_\_  
Name and Title

\_\_\_\_\_  
Name and Title

State of \_\_\_\_\_

County of \_\_\_\_\_

Subscribed, acknowledged, and sworn to before me by the parties on this  
\_\_\_\_\_ day of \_\_\_\_\_, \_\_\_\_\_.

\_\_\_\_\_  
Notary Public

My Commission Expires: \_\_\_\_\_